

STATE PREPAREDNESS REPORT

January 25, 2012
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BACKGROUND

- 2003 – Homeland Security Presidential Directive (HSPD) 8
- 2006 – Post – Katrina Emergency Management Reform Act
- 2007 – DHS requires State Preparedness Report (SPR)
- 2009 – SPR changes form to an assessment of target capabilities (37)
- 2010 – National Preparedness Task Force recommends a risk - based target capability assessment
- 2011 – Presidential Policy Directive 8 replaces HSPD - 8; SPR becomes a qualitative, quantitative, risk - based assessment of core capabilities

TIMELINE

- ✗ Sep 22: Training in Washington, DC
- ✗ Oct 11: Steps 1 & 2 completed
- ✗ Oct 17: Distributed input forms to agencies
- ✗ Oct 20: Provided input form overview training
- ✗ Nov 16: Input forms due
- ✗ Dec 7: All inputs received, consolidated
- ✗ Dec 7: Agency review and comment
- ✗ Dec 9: Distributed for CHS, EMC and regional / local stakeholders for review and comment
- ✗ Dec 16: Brief to DSEG
- ✗ Dec 21: Report submitted to DHS after Governor's approval
- ✗ Dec 30: Report deadline

CORE CAPABILITY LIST

PREVENT Eff. 09/12/2011

Planning

Public Information and
Warning

Operational Coordination

Intelligence and Information
Sharing

Interdiction and Disruption

Screening, Search
and Detection

Forensics and Attribution

PROTECT Eff. 09/12/2011

Planning

Public Information and
Warning

Operational Coordination

Intelligence and Information
Sharing

Interdiction and Disruption

Screening, Search, and
Detection

Access Control and Identity
Verification

Supply Chain Integrity and
Security

Physical Protective
Measures

Cybersecurity

Risk Management for
Protection Programs and
Activities

RESPOND Eff. 09/12/2011

Planning

Public Information and
Warning

Operational Coordination

Situational Assessment

Operational
Communications

Environmental Response /
Health and Safety

Critical Transportation

On-Scene Security and
Protection

Mass Search and Rescue
Operations

Public Health and Medical
Services

Mass Care Services

Public and Private Services
and Resources

Infrastructure Systems

Fatality Management
Services

RECOVER Eff. 09/12/2011

Planning

Public Information and
Warning

Operational Coordination

Economic Recovery

Health and Social Services

Housing

Infrastructure Systems

Natural and Cultural
Resources

MITIGATION Eff. 09/12/2011

Planning

Public Information and
Warning

Operational Coordination

Threats and Hazard
Identification

Risk and Disaster Resilience
Assessment

Community Resilience

Long-term Vulnerability
Reduction

CAPABILITY THREAT / HAZARD CONTEXT

THREAT / HAZARD	Earthquake
DEFINITION	Richter magnitude 7.0+; Well built wooden structures destroyed, most masonry and frame structures destroyed with foundations, rail greatly bent, and bridges destroyed; At worst – total destruction; Lines of sight and level distorted; Objects thrown into air.
CORE CAPABILITIES	<ul style="list-style-type: none">• Operational Coordination• Supply Chain Integrity and Security• Community Resilience• Long-term Vulnerability Reduction• Critical Transportation• Fatality Management Services• Infrastructure Systems (Response Focus)• Mass Care Services• Mass Search and Rescue Operations• Operational Communications• Public and Private Services and Resources• Situational Assessment• Economic Recovery• Health and Social Services• Housing• Infrastructure Systems (Recovery Focus)• Natural and Cultural Resources

CAPABILITY THREAT / HAZARD CONTEXT

THREAT / HAZARD	Tsunami
DEFINITION	Disastrous – Oncoming water immensely powerful and capable of leveling whole towns, even some distance from shore; Waves 50+ feet above sea level, moving extremely fast; Wavelengths over 500 km when arriving on shore.
CORE CAPABILITIES	<ul style="list-style-type: none">• Public Information and Warning

THREAT / HAZARD	Human Pandemic
DEFINITION	Outbreak with 1 to 2% case fatality rate (excess fatality rate of 300 to 600 per population of 100,000).
CORE CAPABILITIES	<ul style="list-style-type: none">• Public Health and Medical Services

THREAT / HAZARD	Nuclear Accident
DEFINITION	Accident with Wider Consequences – Limited release of radiological material likely to require implementation of some planned countermeasures; Severe damage to reactor core; Release of large quantities of radioactive material with installation; High probability of significant public exposure.
CORE CAPABILITIES	<ul style="list-style-type: none">• Planning

CAPABILITY THREAT / HAZARD CONTEXT

THREAT / HAZARD	RDD/Nuclear Attack
DEFINITION	Super Radiological Dispersive Device – Sophisticated device containing more than 10,000 Curies of gamma-emitting isotope (such as 60Co or 137Cs); “No entry zone” boundary up to about 600 meters.
CORE CAPABILITIES	<ul style="list-style-type: none">• Interdiction and Disruption (Protection Focus)

THREAT / HAZARD	Biological Attack (non-food)
DEFINITION	Successfully weaponized, drug-resistant strain of biological agent released into a crowded, enclosed public location; Highly contagious; Highly virulent; Results in high mortality rates (at least 30%).
CORE CAPABILITIES	<ul style="list-style-type: none">• Intelligence and Information Sharing (Prevention Focus)• On-scene Security and Protection

THREAT / HAZARD	Armed Assault
DEFINITION	Single shooter with semiautomatic firearm; Location of shooter known and stationary within a secure perimeter; Shooter potentially has access to additional victims.
CORE CAPABILITIES	<ul style="list-style-type: none">• Interdiction and Disruption (Prevention Focus)

CAPABILITY THREAT / HAZARD CONTEXT

THREAT / HAZARD	Explosive Devices
DEFINITION	Vehicle-borne improvised explosive device (VBIED) made from cargo van or small box van containing 4,000 pounds to 10,000 pounds of explosives; Lethal air blast range 200 feet to 300 feet; Falling glass hazard 2,750 feet to 3,750 feet.
CORE CAPABILITIES	<ul style="list-style-type: none"> • Screening, Search, and Detection (Prevention Focus) • Screening, Search, and Detection (Protection Focus) • Intelligence and Information Sharing (Protection Focus) • Physical Protective Measures
THREAT / HAZARD	Cyber Attack
DEFINITION	Nation-State or Terrorist Organization Projection of Power with Limited Resources – Motivated to protect power through cyber attacks on critical infrastructure; Includes threat actors who have limited resources, time, and access to accomplish objectives.
CORE CAPABILITIES	<ul style="list-style-type: none"> • Forensics and Attribution • Access Control and Identity Verification • Cybersecurity
THREAT / HAZARD	Steady-State
DEFINITION	Level of effort is not dependent on hazard severity.
CORE CAPABILITIES	<ul style="list-style-type: none"> • Risk Management for Protection Programs and Activities • Risk and Disaster Resilience Assessment • Threat and Hazard Identification • Environmental Response/Health and Safety

CAPABILITY ASSESSMENT ELEMENTS

- ✖ Planning
- ✖ Organization
- ✖ Equipment
- ✖ Training
- ✖ Exercise

CAPABILITY ASSESSMENT ELEMENTS

✖ Planning

Collection and analysis of intelligence and information, and development of policies, plans, procedures, mutual aid agreements, strategies, and other publications that comply with relevant laws, regulations, and guidance necessary to perform assigned missions and tasks.

✖ Rating Scale

1. No plans / annexes exist
2. Plans / annexes are currently in progress
3. Plans / annexes exist, but lack some required elements
4. Plans / annexes are complete and up to date
5. Plans / annexes are complete and up to date; validated by exercise / operations

Planning is not required for this capability

This Jurisdiction is not responsible for providing planning for this capability

CAPABILITY ASSESSMENT ELEMENTS

✖ Organization

Individual teams, an overall organizational structure, and leadership at each level in the structure that comply with relevant laws, regulations, and guidance necessary to perform assigned missions and tasks. Paid and volunteer staff who meet relevant qualification and certification standards necessary to perform assigned missions and tasks.

✖ Rating Scale

1. None (0%) of the required organizational structure exists
2. Little (< 50%) of the required organizational structure exists
3. Much (51% - 75%) of the required organizational structure exists
4. Most (76% - 99%) of the required organizational structure exists
5. All (100%) of the required organizational structure exists

Organization is not relevant for this capability

Organization for this capability is provided entirely by other jurisdictions

CAPABILITY ASSESSMENT ELEMENTS

✖ Equipment

Major items of equipment, supplies, facilities, and systems that comply with relevant standards necessary to perform assigned missions and tasks.

✖ Rating Scale

1. None (0%) of the required equipment exists
2. Little (< 50%) of the required equipment exists
3. Much (51% - 75%) of the required equipment exists
4. Most (76% - 99%) of the required equipment exists
5. All (100%) of the required equipment exists; sustainment needs only

Equipment is not relevant for this capability

Equipment for this capability is provided entirely by other jurisdictions

CAPABILITY ASSESSMENT ELEMENTS

✖ Training

Content and methods of delivery that comply with relevant training standards necessary to perform assigned missions and tasks.

✖ Rating Scale

1. No training has been conducted
2. Few relevant personnel (< 50%) have completed relevant courses
3. Many relevant personnel (51% - 75%) have completed relevant courses
4. Most relevant personnel (76% - 99%) have completed relevant courses
5. All personnel, including many private sector reps / citizens have completed all relevant courses

Training is not relevant for this capability

Training for this capability is provided entirely by other jurisdictions

CAPABILITY ASSESSMENT ELEMENTS

✘ Exercises

Exercises and actual major events that provide opportunities to demonstrate, evaluate, and improve the combined capability and interoperability of the other elements to perform assigned missions and tasks to standards necessary to achieve successful outcomes.

✘ Rating Scale

1. No recent exercises have been conducted
2. Recent single discipline / jurisdictional exercise conducted
3. Recent single discipline / jurisdictional exercise conducted; plans updated using AAR / IP
4. Recent multi discipline / jurisdictional exercise conducted; plans updated using AAR / IP
5. Recent multi discipline / jurisdictional exercise demonstrated capability success; plans validated

Exercises are not relevant for this capability

Exercises for this capability are provided entirely by other jurisdictions

CORE CAPABILITY ASSESSMENT RESULTS

CORE CAPABILITY vs. TARGET CAPABILITY

- ✗ Target Capabilities focus of 2010 Assessment
 - + 37 capabilities
 - + Critical tasks incorporated into assessment tool
 - + Clarifying questions
 - + One overall rating (1 to 10) for each capability vs. five
- ✗ DHS provided crosswalk matrix relating core capabilities to select target capabilities
 - + No one for one alignment
 - + Target capabilities identified in the crosswalk
 - ✗ Do not cover all aspects of the core capabilities
 - ✗ Provide questionable and confusing linkage to core capability
 - + Core capabilities much broader in scope
 - ✗ Public Health and Medical Services core capability linked to seven diverse target capabilities

2010 vs. 2011 ASSESSMENT RESULTS

- ✖ 2010 assessment scores are displayed in colors which correlate to 2011 assessment scores for comparison
 - + Example: 2010 score of 7 or 8 is shown as the same color as a 2011 score of 4

2010										2011					
KEY										KEY					
1	2	3	4	5	6	7	8	9	10	N/A	1	2	3	4	5

- ✖ 2010 target capability scores linked or associated with a core capability are depicted in the following manner
 - + One core capability may represent multiple target capabilities

Forensics and Attribution			
Intelligence and Information Sharing	3	2	2
Interdiction and Disruption	3		
Screening, Search, and Detection	2		

Three target capabilities are associated with this core capability

“COMMON” CORE CAPABILITIES

2011 Assessment

KEY					
N/A	1	2	3	4	5

Planning
Public Information and Warning
Operational Coordination

Organic Capabilities

Planning	Organization	Equipment	Training	Exercises
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3	4		2	4
3	4	3	3	4
3	2	4	4	4

With Mutual Aid

Planning	Organization	Equipment	Training	Exercises
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3	4		2	4
3	4	3	3	4
3	4	4	4	4

These core capabilities are common to all five mission areas – Prevent, Protect, Respond, Recovery and Mitigate.

2010 Assessment

Planning
Public Information and Warning
Operational Coordination

5
6
7

KEY									
1	2	3	4	5	6	7	8	9	10

“PREVENT” CORE CAPABILITIES

2011 Assessment

KEY					
N/A	1	2	3	4	5

Forensics and Attribution
Intelligence and Information Sharing (Prevention)
Interdiction and Disruption (Prevention)
Screening, Search, and Detection (Prevention)

Organic Capabilities				
Planning	Organization	Equipment	Training	Exercises

2	3	4	2	4
3	2	3	4	2
3	3	3	3	4
3	3	3	4	4

With Mutual Aid				
Planning	Organization	Equipment	Training	Exercises

2	3	4	2	4
3	2	3	4	2
3	3	3	3	4
3	3	3	4	4

- Forensics and Attribution new capability, no crosswalk to target capabilities

2010 Assessment

Forensics and Attribution
Intelligence and Information Sharing
Interdiction and Disruption
Screening, Search, and Detection

5	4	4
5		
4		

KEY									
1	2	3	4	5	6	7	8	9	10

“PROTECT” CORE CAPABILITIES

2011 Assessment

KEY					
N/A	1	2	3	4	5

Intelligence and Information Sharing (Protection)
Interdiction and Disruption (Protection)
Screening, Search, and Detection (Protection)
Access Control and Identity Verification

Organic Capabilities

Planning	Organization	Equipment	Training	Exercises
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4	3	3	2	3
4	3	3	3	3
3	3	3	4	4
3	3	4	2	4

With Mutual Aid

Planning	Organization	Equipment	Training	Exercises
----------	--------------	-----------	----------	-----------

4	3	3	2	3
4	3	3	3	3
3	3	3	4	4
3	3	4	2	4

- Access Control and Identity Verification new capability, no crosswalk to target capabilities

2010 Assessment

Intelligence and Information Sharing
Interdiction and Disruption
Screening, Search, and Detection
Access Control and Identity Verification

5	4	4
5		
4		

KEY									
1	2	3	4	5	6	7	8	9	10

“PROTECT” CORE CAPABILITIES

2011 Assessment

KEY					
N/A	1	2	3	4	5

Organic Capabilities

Planning	Organization	Equipment	Training	Exercises
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With Mutual Aid

Planning	Organization	Equipment	Training	Exercises
----------	--------------	-----------	----------	-----------

Supply Chain Integrity and Security	3	2	3	2	3	3	2	3	2	3
Physical Protective Measures	3	4	2	2	2	3	4	2	2	2
Cybersecurity	2	3	3	2	4	2	3	3	2	4
Risk Management for Protection Programs and Activities	3	2	3	2	2	3	2	3	2	2

- Cybersecurity new capability, no crosswalk to target capabilities

2010 Assessment

Supply Chain Integrity and Security
Physical Protective Measures
Cybersecurity
Risk Management for Protection Programs and Activities

4	3
4	
4	

KEY									
1	2	3	4	5	6	7	8	9	10

“RESPOND” CORE CAPABILITIES

2011 Assessment

KEY					
N/A	1	2	3	4	5

Situational Assessment
Operational Communications
Environmental Response / Health and Safety
Critical Transportation

Organic Capabilities

Planning	Organization	Equipment	Training	Exercises
----------	--------------	-----------	----------	-----------

4	4	4	3	5
3	3	4	4	4
2	2	3	2	2
3	4	4	5	1

With Mutual Aid

Planning	Organization	Equipment	Training	Exercises
----------	--------------	-----------	----------	-----------

4	4	4	3	5
3	4	5	4	4
2	2	3	2	2
3	5	5	5	1

- Situation Assessment new capability, no crosswalk to target capabilities

2010 Assessment

Situational Assessment
Operational Communications
Environmental Response / Health and Safety
Critical Transportation

6		
5	6	5
4		

KEY									
1	2	3	4	5	6	7	8	9	10

“RESPOND” CORE CAPABILITIES

2011 Assessment

KEY					
N/A	1	2	3	4	5

On - Scene Security and Protection
Mass Search and Rescue Operations
Public Health and Medical Services
Mass Care Services

Organic Capabilities

Planning	Organization	Equipment	Training	Exercises
3	2	2	4	3
3	2	2	4	2
4	4	4	4	4
3	3	2	2	2

With Mutual Aid

Planning	Organization	Equipment	Training	Exercises
3	2	2	4	3
3	4	4	4	2
4	4	4	4	4
3	3	2	2	2

2010 Assessment

On - Scene Security and Protection
Mass Search and Rescue Operations
Public Health and Medical Services
Mass Care Services

7	6								
7									
6	5	4	7	5	6	5			
5									

KEY									
1	2	3	4	5	6	7	8	9	10

“RESPOND” CORE CAPABILITIES

2011 Assessment

KEY					
N/A	1	2	3	4	5

Public and Private Services and Resources

Infrastructure Systems

Fatality Management Services

Organic Capabilities

Planning	Organization	Equipment	Training	Exercises
3	2	2	2	2
3	3	2	2	2
3	2	3	2	1

With Mutual Aid

Planning	Organization	Equipment	Training	Exercises
3	2	2	2	2
3	4	4	2	2
3	3	4	2	1

2010 Assessment

Public and Private Services and Resources

Infrastructure Systems

Fatality Management Services

5	7	3
5	5	
4		

KEY

1	2	3	4	5	6	7	8	9	10
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2011 Assessment

Economic Recovery
Health and Social Services
Housing
Infrastructure Systems
Natural and Cultural Resources

Planning
Organization
Equipment
Training
Exercises

2	2		1	1
2	3	2	3	2
2	2		1	2
3	3	3	2	2
3	3	2	2	1

Planning
Organization
Equipment
Training
Exercises

2	2		1	1
2	3	2	3	2
2	2		1	2
3	3	3	2	2
3	3	2	2	1

- # 2010 Assessment

5	
5	5

KEY									
1	2	3	4	5	6	7	8	9	10

“MITIGATE” CORE CAPABILITIES

2011 Assessment

KEY					
N/A	1	2	3	4	5

Threat and Hazard Identification
Risk and Disaster Resilience Assessment
Community Resilience
Long – term Vulnerability Reduction

Organic Capabilities

Planning	Organization	Equipment	Training	Exercises
----------	--------------	-----------	----------	-----------

4	4	4	3	4
4	4		3	
3	2		2	
4	3	3	2	3

With Mutual Aid

Planning	Organization	Equipment	Training	Exercises
----------	--------------	-----------	----------	-----------

4	4	4	3	4
4	4		3	
3	2		2	
4	3	3	2	3

- Threat and Hazard Identification, Risk and Disaster Resilience Assessment and Long-term Vulnerability Reduction are new capabilities, no crosswalk to target capabilities

2010 Assessment

Threat and Hazard Identification
Risk and Disaster Resilience Assessment
Community Resilience
Long – term Vulnerability Reduction

4

KEY									
1	2	3	4	5	6	7	8	9	10

CORE CAPABILITY PRIORITIZATION

Planning	H
Public Information and Warning	H
Operational Coordination	H
Forensics and Attribution	H
Intelligence and Information Sharing (Prevention)	H
Interdiction and Disruption (Prevention)	H
Screening, Search, and Detection (Prevention)	H
Access Control and Identity Verification	H
Cybersecurity	H
Intelligence and Information Sharing (Protection)	H
Interdiction and Disruption (Protection)	M
Physical Protective Measures	H
Risk Management for Protection Programs and Activities	H
Screening, Search, and Detection (Protection)	H
Supply Chain Integrity and Security	H
Community Resilience	H
Long-term Vulnerability Reduction	H
Risk and Disaster Resilience Assessment	H

Threats and Hazard Identification	H
Critical Transportation	H
Environmental Response/Health and Safety	H
Fatality Management Services	M
Infrastructure Systems (Response)	M
Mass Care Services	H
Mass Search and Rescue Operations	H
On-scene Security and Protection	M
Operational Communications	H
Public and Private Services and Resources	H
Public Health and Medical Services	H
Situational Assessment	H
Economic Recovery	M
Health and Social Services	H
Housing	M
Infrastructure Systems (Recovery)	H
Natural and Cultural Resources	H

High Priority: 83%

Medium Priority: 17%

HIGHEST ASSESSED CAPABILITIES

CORE CAPABILITY	% POINTS AVAILABLE 2011	% POINTS AVAILABLE 2010	PRIORITY
Situational Assessment	80%	N/A	HIGH
Public Health and Medical Services	80%	50%	HIGH
Threats and Hazard Identification	76%	N/A	HIGH
Risk and Disaster Resilience Assessment	73%	N/A	HIGH
Operational Communications	72%	50%	HIGH

LOWEST ASSESSED CAPABILITIES

CORE CAPABILITY	% POINTS AVAILABLE 2011	% POINTS AVAILABLE 2010	PRIORITY
Economic Recovery	30%	50%	MEDIUM
Housing	35%	N/A	MEDIUM
Environmental Response/Health and Safety	44%	50%	HIGH
Fatality Management Services	44%	30%	MEDIUM
Public and Private Services and Resources	44%	50%	HIGH
Natural and Cultural Resources	44%	N/A	HIGH
Community Resilience	47%	30%	HIGH
Risk Management for Protection Programs and Activities	48%	30%	HIGH
Infrastructure Systems (Response Focus)	48%	50%	MEDIUM
Mass Care Services	48%	50%	HIGH
Health and Social Services	48%	N/A	HIGH

COMMENTS ON THE ASSESSMENT PROCESS

ASSESSMENT PROCESS COMMENTS

- ✘ Core capability descriptions are broad
- ✘ Some core capability descriptions are closely linked, making differentiation and rating a challenge

+ EXAMPLE

- ✘ **Community Resilience** – Lead the integrated effort to recognize, understand, communicate, plan, and address risks so that the community can develop a set of actions to accomplish mitigation and improve resilience.
- ✘ **Economic Recovery** – Return economic and business activities to a healthy state and develop new business and employment opportunities that result in a sustainable and economically viable community.
- ✘ **Infrastructure Systems (Recovery)** - Stabilize critical infrastructure functions, minimize health and safety threats, and efficiently restore and revitalize systems and services to support a viable, resilient community.

ASSESSMENT PROCESS COMMENTS

- ✘ More differentiation is needed when a core capability is assessed in two or more mission areas
 - + Capability targets for Infrastructure Systems Response and Recovery are identical and recovery focused
 - ✘ Decrease and stabilize immediate infrastructure threats to the affected population, to include survivors in the heavily-damaged zone, nearby communities that may be affected by cascading effects, and mass care support facilities and evacuation processing centers with a focus on life-sustainment and congregate care services.
 - ✘ Re-establish critical infrastructure within the affected areas *to support ongoing emergency response operations*, life sustainment, community functionality, and a transition to recovery.
 - ✘ Restore and sustain essential services (public and private) to maintain community functionality.
 - ✘ Develop a plan with a specified timeline for redeveloping community infrastructures to contribute to resiliency, accessibility, and sustainability.
 - ✘ Provide systems that meet the community needs while minimizing service disruption during restoration within the specified timeline in the recovery plan.

ASSESSMENT PROCESS COMMENTS

- ✘ Do not tie core capability assessment to a single hazard
 - + Needed capabilities vary by hazard
 - + EXAMPLE: Mass Search and Rescue Operations
 - ✘ Earthquake: Urban search and rescue focused capability
 - ✘ Tsunami: Aerial, ground and water search and rescue focus
- ✘ The exercise rating scale needs to be adjusted
 - + Is one multi discipline / jurisdiction exercise truly of more value than 39 single discipline / jurisdiction exercises?
 - ✘ Recent single discipline / jurisdictional exercise conducted
 - ★ RATING 2
 - ✘ Recent multi discipline / jurisdictional exercise conducted; plans updated using AAR / IP
 - ★ RATING 4

2012 ASSESSMENT RECOMMENDATIONS

RECOMMENDATIONS

- ✘ Federal AAR with stakeholders no later than February 2012 to collaboratively revise instrument
- ✘ Engage local jurisdictions / regions at beginning of 7 - month process in June
- ✘ Establish lead state agencies for coordination of core capabilities assessment
- ✘ Engage the private sector in the assessment of appropriate core capabilities

QUESTIONS ?
